

08-20-01

A/SEQ

JC667 U.S. PTO  
08/16/01Please type a plus sign (+) inside this box ☐

Attorney Docket P3030R1C1

PATENT

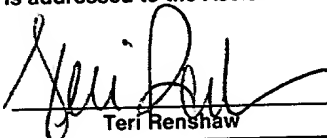
JC979 U.S. PTO  
09/931836  
08/16/01

## CERTIFICATION UNDER 37 CFR 1.10

EL 895 375 396 US: Expr ss Mail Number

August 16, 2001: Date of Deposit

I hereby certify that this Non-provisional Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.



Teri Renshaw

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

Luc Desnoyers, San Francisco, CA  
Dan L. Eaton, San Rafael, CA  
Audrey Goddard, San Francisco, CA  
Paul J. Godowski, Burlingame, CA  
Austin L. Gurney, Belmont, CA  
James Pan, Belmont, CA  
Timothy A. Stewart, San Francisco, CA  
Colin K. Watanabe, Moraga, CA  
William I. Wood, Hillsborough, CA  
Zemin Zhang, Foster City, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME

## 1. Type of Application

- [ ] This application is for an original, non-provisional application.
- [ ] This is a non-provisional application claiming priority to provisional application no. \_\_, filed \_\_, the entire disclosure of which is hereby incorporated by reference.
- [X] This is a [ ] continuation-in-part [X] continuation [ ] divisional application claiming priority to application Serial Numbers: 60/085579 Filed 5/15/98; 60/112514 Filed 12/15/98; 60/113300 Filed 12/22/98; 60/113430 Filed 12/23/98; 60/113605 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/114140 Filed 12/23/98; 60/115552 Filed 1/12/99; 60/116843 Filed 1/22/99; 60/125774 Filed 3/23/99; 60/125778 Filed 3/23/99; 60/125826 Filed 3/24/99; 60/127035 Filed 3/31/99; 60/127706 Filed 4/5/99; 60/129122 Filed 4/13/99; 60/130359 Filed 4/21/99; 60/131270 Filed 4/27/99; 60/131272 Filed 4/27/99; 60/131291 Filed 4/27/99;

60/132371 Filed 5/4/99; 60/132379 Filed 5/4/99; 60/132383 Filed 5/4/99; 60/135750 Filed 5/25/99; 60/138166 Filed 6/8/99; 60/144791 Filed 7/20/99; 60/146970 Filed 8/3/99; 60/162506 Filed 10/29/99; 09/311832 Filed 5/14/99; 09/380142 Filed 8/25/99, now abandoned; 09/644848 Filed 8/22/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/874503 Filed 6/5/01; 09/869599 Filed 6/29/01; 09/908,827 filed 7/18/01, PCT/US99/10733 Filed 5/14/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/30720 Filed 12/22/99; PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01, the entire disclosures of which are hereby incorporated by reference.

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

<u>170</u>	pages of specification
<u>4</u>	pages of claims
<u>1</u>	page(s) of abstract
<u>46</u>	sheet(s) of drawings
	[X] formal <input type="checkbox"/> informal

3. **Declaration or Oath**

*(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)*  
  X   An executed declaration of the inventor(s) [X] is enclosed (UNSIGNED) ☐ will follow.

*(for Cont./Div. where inventorship is the same or inventor(s) being deleted)*  
       A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

*(for Cont./Div. where inventor(s) being deleted)*  
       A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. **Assignment**

*(for new and CIP applications)*  
  X   An Assignment of the invention to GENENTECH, INC. ☐ is enclosed with attached Recordation Form Cover Sheet [X] will follow.

*(for cont./div.)*  
       The prior application is assigned of record to Genentech, Inc.

## 5. Amendments (for continuation and divisional applications)

☐ Cancel in this application original claims \_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

☐ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

### Relate Back -- 35 U.S.C. 120 or 35 U.S.C. 119

☒ Amend the specification by inserting before the first line the sentence:

--This is a

☐ non-provisional application

☒ continuation

☐ divisional

☐ continuation-in-part

of applications

☒ U.S. Serial Numbers: 09/311832 Filed 5/14/99; 09/380142 Filed 8/25/99, now abandoned; 09/644848 Filed 8/22/00; 09/747259 Filed 12/20/00; 09/816744 Filed 3/22/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/874503 Filed 6/5/01; 09/869599 Filed 6/29/01; 09/908,827 filed 7/18/01, which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and

☒ PCT International Application Serial Numbers: PCT/US99/10733 Filed 5/14/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/30720 Filed 12/22/99; PCT/US00/05601 Filed 3/1/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01, which designated the U.S., which applications are incorporated herein by reference and to which applications priority is claimed under 35 USC §120 and

☒ provisional application Serial Numbers: 60/085579 Filed 5/15/98; 60/112514 Filed 12/15/98; 60/113300 Filed 12/22/98; 60/113430 Filed 12/23/98; 60/113605 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/114140 Filed 12/23/98; 60/115552 Filed 1/12/99; 60/116843 Filed 1/22/99; 60/125774 Filed 3/23/99; 60/125778 Filed 3/23/99; 60/125826 Filed 3/24/99; 60/127035 Filed 3/31/99; 60/127706 Filed 4/5/99; 60/129122 Filed 4/13/99; 60/130359 Filed 4/21/99; 60/131270 Filed 4/27/99; 60/131272 Filed 4/27/99; 60/131291 Filed 4/27/99; 60/132371 Filed 5/4/99; 60/132379 Filed 5/4/99; 60/132383 Filed 5/4/99; 60/135750 Filed 5/25/99; 60/138166 Filed 6/8/99; 60/144791 Filed 7/20/99; 60/146970 Filed 8/3/99; 60/162506 Filed 10/29/99, the entire disclosure of which is hereby incorporated by reference and to which applications priority is claimed under 35 USC §119.--

**6. Fee Calculation (37 CFR 1.16)**

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	29	- 20 =	9	X \$18.00	\$162.00
Independent Claims	12	- 3 =	9	X \$80.00	\$720.00
<u>X</u> Multiple dependent claim(s), if any				+ \$270.00	\$270.00
Filing Fee Calculation					\$1,862.00

**7. Method of Payment of Fees**

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$1,862.00. **A duplicate copy of this transmittal is enclosed.**

**8. Authorization to Charge Additional Fees**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

**9. Additional Papers Enclosed**

- ☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations
- ☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.
- ☐ A new Power of Attorney or authorization of agent.
- ☒ Other: Post card.

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**

*[This item must be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until
- \_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

11. Correspondence Address:

X Address all future communications to:

Attn: Elizabeth M. Barnes, Ph.D.

Respectfully submitted,  
GENENTECH, INC.

Date: August 16, 2001

By: Elizabeth M. Barnes  
Elizabeth M. Barnes, Ph.D.  
Reg. No. 35,059  
Telephone No. (650) 225-4563



09157

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09157  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of Desnoyers, et al.</p>	<p>Group Art Unit: Unknown Examiner: Unknown</p>
<p>Serial No.: Filed herewith Filed: August 16, 2001 For: <i>SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME</i></p>	<p>Express Mail No: EL 895 375 396 US Filed on August 16, 2001</p>

CERTIFICATE RE: SEQUENCE LISTING

RESPONSE UNDER 37 CFR § 1.821(f) and (g)

Box: Patent Application  
Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

By: Elizabeth M. Barnes

Elizabeth M. Barnes, Ph.D.

Reg. No. 35,059

Telephone No. (650) 225-4563

Date: August 16, 2001



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